

2013 OCC Community Bank Director Workshops

Compliance Risk

What Directors Need to Know

2013 Workshop Locations

San Jose, CA*
May 15

Columbia, SC*
May 22

Milwaukee, WI*
July 17

Fargo, ND*
August 13

Pittsburgh, PA*
October 16

Little Rock, AR*
November 6

San Antonio, TX*
November 19

Phoenix, AZ*
December 3

**REGISTER
TODAY!**

Money Laundering: A Banker's Guide to Avoiding Problems

Office of the Comptroller of the Currency
Washington, DC
December 2002



Federal Financial Institutions Examination Council
Board of Governors of the Federal Reserve System
Federal Deposit Insurance Corporation
National Credit Union Administration
Office of the Comptroller of the Currency
Office of Thrift Supervision
State Liaison Committee

Bank Secrecy Act/ Anti-Money Laundering Examination Manual

2010



OCC Community Bank Director Workshops

Compliance Risk What Directors Need to Know

Effective oversight of consumer laws and regulations can reduce the risk of financial loss, ensure quality service, and preserve a sound reputation. Consumer protection regulations, the Bank Secrecy Act (BSA) and the Community Reinvestment Act (CRA) affect virtually all institution operations. Directors must recognize the scope and implications of the legislation that applies to their institutions.

This one-day workshop combines lectures, discussions, and exercises designed specifically for outside directors of national community banks and federal savings associations. Topics addressed include

- Major compliance risks and critical regulations, such as BSA and CRA
- The critical elements of an effective compliance risk management program
- How to identify compliance red flags
- Current compliance hot topics
- Common OCC examination findings related to compliance risk
- Answers to your questions

Communicate With the Regulators

You will interact with instructors who are experienced examiners from the OCC. They are seasoned professionals who regularly assess compliance risk management systems and meet with senior managers and directors to discuss their findings and evaluations. They will share their experiences to help you improve your knowledge and skills. Enrollment is limited to 35 directors per workshop to allow open and targeted dialogue. Pre-course reading materials will be provided to enhance your workshop experience.

Who Should Attend

This workshop is geared primarily to outside directors of national community banks and federal savings associations that have assets of less than \$5 billion. Management directors could also benefit from attendance.

“In this economic environment, it’s especially important to understand regulatory expectations for risk management. This workshop equips directors with the skills and knowledge they need to help steer financial institutions through challenging times.”

Jennifer Kelly

Senior Deputy Comptroller
for Midsize and
Community Bank Supervision

Meet the Instructors



Dave Grandison
National Bank Examiner
Central District



Vonda Eanes
Community Affairs Officer
Community Development
Division



Laura Lewis
Compliance Lead Expert
Northeastern District



Kim Ford
National Bank Examiner
Western District

Agenda

Attire is business casual.

Workshop

“This very informative workshop was well worth the time. All directors, regardless of length of service, should attend.”

Reaction from past participant

- 7:00 a.m. Registration opens
- 8:00 a.m. Morning session
 - Introductions and program overview
 - Regulations You Need to Know: Bank Secrecy Act
 - Group exercises
- 12:00 p.m. Lunch
- 1:00 p.m. Afternoon session
 - Compliance Risk Management
 - Director's Role
 - Group exercises
 - Wrap-up
- 4:00 p.m. Adjourn



Spencer Doak
National Bank Examiner
BSA/AML Compliance
Division



Beverly Hearn
National Bank Examiner
Southern District



Mary McKnight
Compliance Lead Expert
Southern District



Kim Hebb
Director for Compliance
Compliance Policy Division

Part 1

- ☐ May 15, 2013
San Jose, CA*
- ☐ May 22, 2013
Columbia, SC*
- ☐ July 17, 2013
Milwaukee, WI*
- ☐ August 13, 2013
Fargo, ND*
- ☐ October 16, 2013
Pittsburgh, PA*
- ☐ November 6, 2013
Little Rock, AR*
- ☐ November 19, 2013
San Antonio, TX*
- ☐ December 3, 2013
Phoenix, AZ*

Please register online at www.seiservices.com/occ, fax registrations to (240) 485-1982, or mail to SEI Services, Attn: OCC 2013, 8757 Georgia Ave., Suite 1440, Silver Spring, MD 20910.

- You must be on the board of directors of a national community bank or federal savings association.
- Registrations will be accepted on a space-available basis only. A wait list will be established for all sessions that reach maximum capacity.
- Registration fee for the workshop is \$99 per participant.
- All cancellations must be in writing. Cancellations will be accepted by e-mail to occ@seiservices.com or by fax to (240) 485-1982. If a cancellation is received less than one month before the workshop, no refund will be issued.
- Completion of this form in its entirety is required for conference registration.

Institution Information

Asset Size \$ (Millions) ☐ <50 ☐ 50-99 ☐ 100-149
☐ 150-249 ☐ 250-499 ☐ 500-749
☐ 750-1B ☐ >1B

Institution Name: _____

Institution Address: _____
Street

City State Zip Code

Telephone: _____

Point of Contact: _____

Payment Information

Billing Name: _____

Billing Address: _____
Street

City State Zip Code

Credit Card Type: ☐ Amex ☐ Visa ☐ MC Expiration Date: _____

Credit Card Number: _____

Security Code: _____

Signature of Cardholder: _____

If other payment arrangements are needed, please contact the reservation center at (240) 485-1700 or occ@seiservices.com.

* Consecutive session with the risk assessment or credit risk workshops. Participants may attend one or more of these sessions.

Part 2

Attendee Information

Name: Mr./Ms./Mrs./Dr. _____
(Please circle one) First Name Last Name

Name on Badge: _____
First Name Last Name

Title: _____ Director: ☐ Inside ☐ Outside ☐ Other

Home Address: _____
Street

City State Zip Code

Daytime Telephone: _____ Fax: _____

Attendee E-mail: _____

Assistant's E-mail: _____

Emergency Contact

Emergency Contact Name: _____
(friend or family)

Emergency Contact Phone Number (Home or Cell): _____
(do not use the bank phone number)

Comments

If you have any comments or information concerning your registration that you wish to add, please do so below.

For workshop information, please contact (240) 485-1700. Registration center hours: 8:30 a.m.–5:30 p.m. Eastern time.



Dates and Locations

San Jose, CA*—May 15, 2013

Dolce Hayes Mansion
Hotel reservations: (866) 981-3300
Room rate: \$121.00
www.hayesmansion.com

Columbia, SC*—May 22, 2013

Columbia Marriott Hotel
Hotel reservations: (803) 771-7000
Room rate: \$139.00
www.marriottcolumbia.com

Milwaukee, WI*—July 17, 2013

Crowne Plaza Milwaukee Airport
Hotel reservations: (414) 764-5300
Room rate: \$97.00
www.milwaukeeairporthotel.com

Fargo, ND*—August 13, 2013

Ramada Plaza and Suites
Hotel reservations: (701) 277-9000
Room rate: \$77.00
www.ramadafargo.com

Pittsburgh, PA*—October 16, 2013

Hyatt Regency Pittsburgh International Airport
Hotel reservations: (724) 899-1234
Room rate: \$149.00
www.pittsburgh.hyatt.com

Little Rock, AR*—November 6, 2013

The Peabody Little Rock
Hotel reservations: (501) 906-4000
Room rate: \$159.00
www.peabodylittlerock.com

San Antonio, TX*—November 19, 2013

Holiday Inn San Antonio–Riverwalk
Hotel reservations: (210) 224-2500
Room rate: \$106.00
www.holidayinn.com

Phoenix, AZ*—December 3, 2013

Hyatt Regency Phoenix
Hotel reservations: (602) 252-1234
Room rate: \$105.00
www.phoenix.hyatt.com

Hotel room rates for each location are guaranteed until the following dates:

Dolce Hayes Mansion, San Jose, CA	April 13, 2013
Columbia Marriott Hotel, Columbia, SC	April 10, 2013
Crowne Plaza Milwaukee Airport, Milwaukee, WI	June 15, 2013
Ramada Plaza and Suites, Fargo, ND	July 13, 2013
Hyatt Regency Pittsburgh International Airport, Pittsburgh, PA	September 15, 2013
The Peabody Little Rock, Little Rock, AR	October 5, 2013
Holiday Inn San Antonio–Riverwalk, San Antonio, TX	October 19, 2013
Hyatt Regency Phoenix, Phoenix, AZ	November 4, 2013

Hotel rates for this program have been discounted. To make your reservations on a space-available basis, please contact the hotel directly. Some hotels may honor the rate before and after the workshop. When making reservations, please mention the function name: OCC Director Workshops. If you encounter difficulties in making your reservations, please call (240) 485-1700 for assistance.

Registration Fee

The registration fee is \$99, payable at the time of registration. The price includes

- Pre-course reading package
- Course materials
- The Director's Toolkit, which includes *The Director's Book*, "Detecting Red Flags in Board Reports," and "Internal Controls"
- Lunch

Special Needs

If you require special accommodations to participate in this workshop, please call (202) 649-6733.

Cancellation Policy

All cancellations must be in writing. Cancellations will be accepted by e-mail to occ@seiservices.com or by fax to (240) 485-1982. If a cancellation is received less than one month before the workshop, no refund will be issued.

Questions

For additional workshop information, please call (240) 485-1700 or send an e-mail to occ@seiservices.com.

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